| Electronic Acknowledgement Receipt | | | | |
|--------------------------------------|----------------------------------------------------------------------------------------------------------------|--|--|--|
| EFS ID: | 5151588 | | | |
| Application Number: | 10628208 | | | |
| International Application Number: | | | | |
| Confirmation Number: | 5479 | | | |
| Title of Invention: | Method and system for providing mandatorily convertible securities with associated call spread against a trust | | | |
| First Named Inventor/Applicant Name: | William Ortner | | | |
| Customer Number: | 75127 | | | |
| Filer: | Eric L. Sophir/Terry Goad | | | |
| Filer Authorized By: | Eric L. Sophir | | | |
| Attorney Docket Number: | SSB0009-US | | | |
| Receipt Date: | 14-APR-2009 | | | |
| Filing Date: | 29-JUL-2003 | | | |
| Time Stamp: | 15:36:34 | | | |
| Application Type: | Utility under 35 USC 111(a) | | | |

Payment information:

| Submitted with Payment | yes |
|------------------------------------------|---------------|
| Payment Type | Credit Card |
| Payment was successfully received in RAM | \$1110 |
| RAM confirmation Number | 1752 |
| Deposit Account | 504402 |
| Authorized User | BEY,DAWNMARIE |

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

| File Listin | g: | | | | |
|----------------------------------------------------------|--------------------------------------|----------------------------------------------|-------------------------------------|---------------------|---------------------|
| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
| Amendment/Req. Reconsideration-After Non-Final Reject | Amendment/Req. Reconsideration-After | SSB0009_Response_1153106_1 | 117113 | no | 6 |
| | .pdf | 0638ae26fabca911f7c58658c75e706a452d a7d2 | no | O | |
| Warnings: | | | | • | |
| Information: | | | | | |
| 2 Oath or Declaration filed | SSB0009_Declaration.pdf | 139732 | no | 1 | |
| | | 291a2d16809cced060d63215c66d87416e9 83075 | | | |
| Warnings: | | | | | |
| Information: | | | | | |
| 3 Extension of Time | SSB0009_Extension.pdf | 119789 | no | 1 | |
| | | 4ee08ce91c04a9db64123c4d590bd3f83a2 49252 | | | |
| Warnings: | | | | | |
| Information: | | | | | |
| 4 Fee Worksheet (PTO-06) | fee-info.pdf | 30258 | no | 2 | |
| | | d6d55a2375be54152d4e36ca63ea2b2cf3f 5af30 | | | |
| Warnings: | | | | | |
| Information: | | | | | |
| | | Total Files Size (in bytes) | 40 | 06892 | |

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.